

Express Mail EL 589 080 142 US

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re U.S. CIP Patent Application: **09/624,330**

Applicant: **O'Shaughnessy et al**

Filed: **July 24, 2000**

Title of application: **SYSTEM AND METHOD FOR SELECTING AND
PURCHASING STOCKS VIA A GLOBAL COMPUTER
NETWORK**

Atty. Docket No: **N24-004**

Commissioner for Patents
Box Missing Parts
Washington, D.C. 20231

Request for Corrected Filing Receipt

Applicant respectfully requests a correct filing receipt for the above-identified United States Patent Application.

In the Applicant(s) Section:

Change Gregory L. Cronin — Gregory L. Cowin

Add the residence for the following applicants:

James P. O'Shaughnessy
Gregory L. Cowin
Stephen N. Downey
Gregory L. McIntire
Kevin P. Tyson

Cos Cob, Connecticut, USA
Trumbull, Connecticut, USA
Babylon, New York, USA
Stamford, Connecticut, USA
White Plains, New York, USA

In the Continuing Data as Claimed by Applicant Section:

Change THIS APPLICATION IS A CIP OF 09/433,351 11/04/1998 to

— THIS APPLICATION IS A CIP OF 09/433,351 11/03/1998
WHICH IS A CIP OF 09/360,003 07/23/1999.

In the Foreign Applications Section:

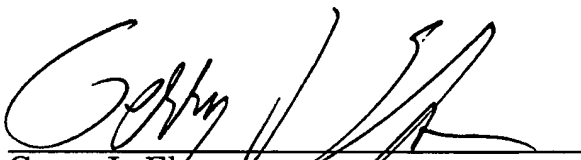
Delete GERMANY 198 50 832.8 11/04/1998

Applicants, by their attorney, hereby aver that Gregory L. Cronin (applicant in the application as filed) and Gregory L. Cowin, applicant as corrected above, are one and the same person, that no new applicant has been added to the application, and that this error occurred without deceptive intent on the part of the applicants.

Request for Corrected Filing Receipt
U.S. Patent Application 09/624,330
Atty. Docket No. N24-004

Please charge Deposit Account **05-0845** for any fees due for the above-enumerated changes to the original filing receipt.

Respectfully submitted,



Gerry J. Elman
Attorney of Record
Registration No. 24,404
ELMAN & ASSOCIATES
Customer No. 003775
P.O. Box 1969
Media, PA 19063-8969

Date Nov. 19, 2000

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**Response To Notice To File Missing Parts Of Application
Filing Date Granted (PTO-1533) (Small Entity)**

Docket No.
N24-004

In Re Application Of: O'Shaughnessy et al

Serial No.
09/624,330

Filing Date
July 24, 2000

Examiner
NA

Group Art Unit
2761

Invention: **SYSTEM AND METHOD FOR SELECTING AND PURCHASING STOCK VIA A GLOBAL NETWORK**
TO THE ASSISTANT COMMISSIONER FOR PATENTS:
Box Missing Parts

This is a response to the Notice to File Missing Parts of Application - Filing Date Granted (PTO-1533) mailed on Septemer 13, 2000
Date

Enclosed herewith for filing are the following:

- ☒ A copy of the Notice to File Missing Parts of Application - Filing Date Granted (PTO-1533). **(REQUIRED)**
- ☐ An oath or declaration in compliance with 37 CFR 1.63, including residence information and identifying the application by the above Application Number and Filing Date.
- ☒ A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date.
- ☐ An oath or declaration in compliance with 37 CFR 1.63 listing the names of all inventors and signed by the omitted inventor(s), identifying this application by the above Application Number and Filing Date.
- ☐ A verified English translation of the non-English language application papers as originally filed. It is requested that this translation be used as the copy for examination purposes in the United States Patent and Trademark Office.
- ☐ _____ verified small entity declaration(s)
 - ☐ is/are attached.
 - ☐ was/were filed on _____
- ☐ A separate request for refund.
- ☐ Other (list):

**Response To Notice To File Missing Parts Of Application
Filing Date Granted (PTO-1533)(Small Entity)**

Docket No.
N24-004

In Re Application Of: **O'Shaughnessy et al**

Serial No.
09/624,330

Filing Date
July 24, 2000

Examiner
NA

Group Art Unit
2761

Invention: **SYSTEM AND METHOD FOR SELECTING AND PURCHASING STOCK VIA A GLOBAL NETWORK**

TO THE ASSISTANT COMMISSIONER FOR PATENTS:

Attention: Manager, Application Branch

- ☒ Completion of application fees as calculated below:

- | | |
|---|-----------------------------|
| <input checked="" type="checkbox"/> Utility application filing fee | <u>\$355.00</u> |
| <input type="checkbox"/> Design application filing fee | <u> </u> |
| <input type="checkbox"/> Total number of independent claims = <u>2</u> | <u> </u> |
| <input type="checkbox"/> Total number of claims = <u>24</u> | <u>\$36.00</u> |
| <input type="checkbox"/> Multiple dependent claims | <u> </u> |
| <input checked="" type="checkbox"/> Surcharge for late payment of filing fee and/or late filing of original declaration or oath | <u>\$65.00</u> |
| <input type="checkbox"/> Petition and fee for filing by other than all the inventors or a person not the inventor | <u> </u> |
| <input type="checkbox"/> Fee for processing an application filed with a non-English language specification | <u> </u> |
| <input type="checkbox"/> Fee for processing and retention of application | <u> </u> |

Total completion of application fees \$456.00

This is a request under the provisions of 37 CFR 1.136(a) to extend the period for filing a response to the above-identified Notice to File Missing Parts of Application. The requested extension is as follows (check time period desired). If an additional time extension is required, please consider this a petition therefor.

- ☐ One month ☐ Two months ☐ Three months ☐ Four months ☐ Five months

from: _____ *Date* until: _____ *Date*

Total time extension fees

Total fees due \$456.00

**Response To Notice To File Missing Parts Of Application
Filing Date Granted (PTO-1533) (Small Entity)**

Docket No.
N24-004

In Re Application Of: O'Shaughnessy et al

Serial No.
09/624,330

Filing Date
July 24, 2000

Examiner
NA

Group Art Unit
2761

Invention: **SYSTEM AND METHOD FOR SELECTING AND PURCHASING STOCK VIA A GLOBAL NETWORK**

TO THE ASSISTANT COMMISSIONER FOR PATENTS:

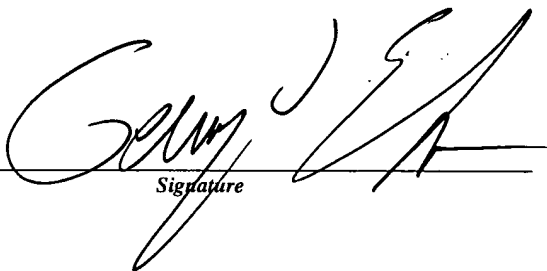
Attention: Manager, Application Branch

The fee of **\$456.00** is to be paid as follows:

- ☒ A check in the amount of the fee is enclosed.
- ☒ The Commissioner is hereby authorized to charge any fees which may be required, or credit any overpayment, to Deposit Account No. **05-0845**
A duplicate copy of this sheet is enclosed.
- ☐ If an additional extension of time is required, please consider this a petition therefor and charge any additional fees which may be required to Deposit Account No.
A duplicate copy of this sheet is enclosed.

Also submitted:

Request for Corrected Filing Receipt, 2 sheets


Signature

Dated: *Nov. 10, 2000*

Express Mail No. **El 589 080 142 US**

I certify that this document and fee is being deposited on *Nov. 10, 2000* with the U.S. Postal Service as ~~first class~~ mail under 37 C.F.R. 1.6 and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.


Signature of Person Mailing Correspondence

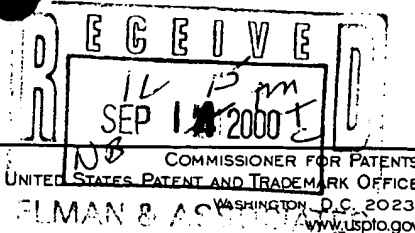
Gerry J. Elman

Typed or Printed Name of Person Mailing Correspondence

CC:



UNITED STATES PATENT AND TRADEMARK OFFICE



APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/624,330	07/24/2000	2761	0	N24-004	23	24	3

003775
ELMAN & ASSOCIATES
P O BOX 1969
MEDIA, PA 19063-8969



FILING RECEIPT



OC00000005394697

Date Mailed: 09/13/2000

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the PTO processes the reply to the Notice, the PTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

Cowin
James P. O'Shaughnessy, Residence Not Provided; Cos Cob, Connecticut, USA
Gregory L. ~~Downey~~, Residence Not Provided; Trumbull, Connecticut, USA
Stephen M. Downey, Residence Not Provided; Babylon, New York, USA
Gregory L. McIntire, Residence Not Provided; Stamford, Connecticut, USA
Kevin P. Tyson, Residence Not Provided; White Plains, New York, USA

Continuing Data as Claimed by Applicant

THIS APPLICATION IS A CIP OF 09/433,351 ~~44/04/1999~~

Foreign Applications

~~GERMANY 100 50 032.8 44/04/1999~~*11/03/99**which is a**Continuation in part of 09/360,003 7/23/99*

If Required, Foreign Filing License Granted 09/12/2000

** SMALL ENTITY **

Title

System and method for selecting and purchasing stocks via a global computer network

Preliminary Class

705

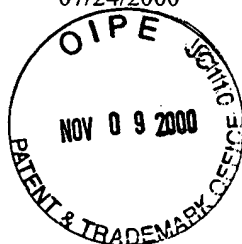


UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/624,330	07/24/2000	James P. O'Shaughnessy	N24-004

003775
ELMAN & ASSOCIATES
P O BOX 1969
MEDIA, PA 19063-8969



FORMALITIES LETTER



OC000000005394698

Date Mailed: 09/13/2000

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.
Applicant must submit \$ 345 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).
- Total additional claim fee(s) for this application is \$36.
 - \$36 for 4 total claims over 20.
- The oath or declaration is missing.
A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 446.

A copy of this notice **MUST** be returned with the reply.

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

00 00 00
355.00 00 00
36.00 00 00
65.00 00 00

11/16/2000 SDEB081 00000087 09624330

01 FC:201
02 FC:203
03 FC:205

9/12/00